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PTO/SB/21 (08-00)

Approved for use through 10/31/2002, OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number

09/844,717

Filing Date

04/27/2001

First Named Inventor

Shah

Group Art Unit

2131

Examiner Name

Not Yet Assigned

Attorney Docket Number

68110328.714

ENCLOSURES (check all that apply)

Fee Transmittal Form

Fee Attached

Amendment / Reply **Preliminary**

After Final

Affidavits/declaration(s)

Extension of Time Request

Express Abandonment Request

Information Disclosure Statement

Certified Copy of Priority Document(s)

Response to Missing Parts/ Incomplete Application

Response to Missing Parts under 37 CFR 1.52 or 1.53

Assignment Papers (for an Application)

Drawing(s)

Licensing-related Papers

Petition

Petition to Convert to a Provisional Application

Power of Attorney, Revocation Change of Correspondence Address

Terminal Disclaimer

Request for Refund

CD, Number of CD(s) _____

After Allowance Communication to Group

Appeal Communication to Board of Appeals and Interferences

Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

Proprietary Information

Status Letter

Other Enclosure(s) (please identify below):

**Declaration for Utility/Design Patent Application
Request to Correct Filing Receipt**

Check in the amount of \$880 for Missing Parts fees and assignment fee

**Copies of Patent References
Postcard Acknowledgement**

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

**Brian C. McCormack
BAKER & MCKENZIE**

Signature

Date

08/24/2001

CERTIFICATE OF MAILING

EL 698812625US

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as **Express** mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: **08/24/2001**

Typed or printed name

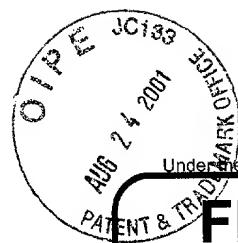
Christi Pingleton

Signature

Date

08/24/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT **(\$)** 880.00

Complete if Known

Application Number	09/844,717
Filing Date	04/27/2001
First Named Inventor	Shah
Examiner Name	Not Yet Assigned
Group Art Unit	2131
Attorney Docket No.	68110328.714

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **130480**
 Deposit Account Name **BAKER & MCKENZIE**

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:

Check Credit card Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	710.00
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	
SUBTOTAL (1)		(\$) 710.00	

2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims	14	-20** = 0	$0 \times 18.00 = 0.00$
Independent Claims	2	-3** = 0	$0 \times 80.00 = 0.00$
Multiple Dependent			

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		(\$) 0.00

**or number previously paid, if greater. For Reissues, see above*

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	130.00
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40.00
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	
Other fee (specify) _____			
*Reduced by Basic Filing Fee Paid		SUBTOTAL (3)	(\$) 170.00

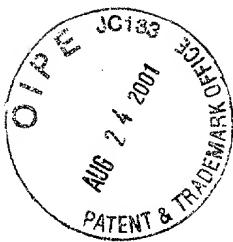
SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Brian C. McCormack	Registration No. (Attorney/Agent)	36,601	Telephone	214/978-3000
Signature	<i>Brian C. McCormack</i>			Date	8/24/2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231 DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO: Assistant Commissioner for Patents Washington DC 20231



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Shah et al § Group Art No.: 2131
Serial No.: 09/844,717 § Examiner: Not Yet Assigned
Filed: April 27, 2001 § Atty. Docket No.: 68110328.714
For: Database Security §

**RESPONSE TO NOTICE TO FILE
MISSING PARTS OF APPLICATION**

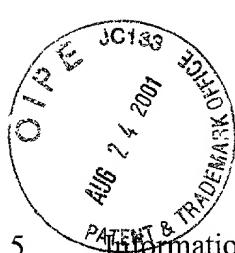
EXPRESS MAIL MAILING LABEL NO.: EL698812625US
DATE OF DEPOSIT: <u>8-24-01</u>
I, Christi Pingleton, hereby certify that this correspondence is being deposited on the date shown above with sufficient postage with the United States Postal Service as Express Mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231.
<u>Christi Pingleton</u> Signature
<u>8-24-01</u> Date

Commissioner of Patents
Washington, D.C. 20231
Attn: Initial Patent Examination Division

Dear Sir:

In response to the Notice to File Missing Parts of Application, mailed June 25, 2001, enclosed are the following:

1. A copy of the "Notice to File Missing Parts of Nonprovisional Application";
2. A Declaration for Utility or Design Patent Application (37 CFR 1.63);
3. Formal drawings Figures 1-9;
4. Preliminary Amendment;



5. Information Disclosure Statement, PTO/08/A and patent copies;
6. Assignment and Assignment Recordation Cover sheet;
7. Request for Corrected Filing Receipt;
8. A check in the amount of \$880 to accommodate the filing fee for a large entity of \$710, the late filing fee for oath or declaration of \$130 and recordation fee for the assignment;
9. Fee Transmittal Form; and
10. Transmittal Cover Sheet.

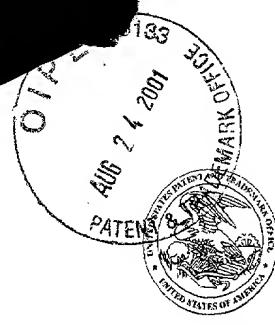
Respectfully submitted,



Brian C. McCormack
Reg. No. 36,601

ATTORNEY FOR APPLICANTS

Date: August 24, 2001
BAKER & MCKENZIE
2001 Ross Avenue, Suite 2300
Dallas, TX 75201
214/978-3043
214/978-3099 fax



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/844,717	04/27/2001	Arun Shah	68110328.714

CONFIRMATION NO. 9551

FORMALITIES LETTER



OC000000006218653

Brian C. McCormack
 Baker & McKenzie
 2001 Ross Avenue, Suite 2300
 Dallas, TX 75201

Date Mailed: 06/25/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 840.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
- Drawings must be reasonably free from erasures and must be free from alterations, overwritings, interlineations, folds, and copy marks.

06/29/2001 TL00111 00000014 09844717

01 FD:101	710.00 0P
02 FD:105	130.00 0P

*A copy of this notice **MUST** be returned with the reply.*

Enclosed

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE